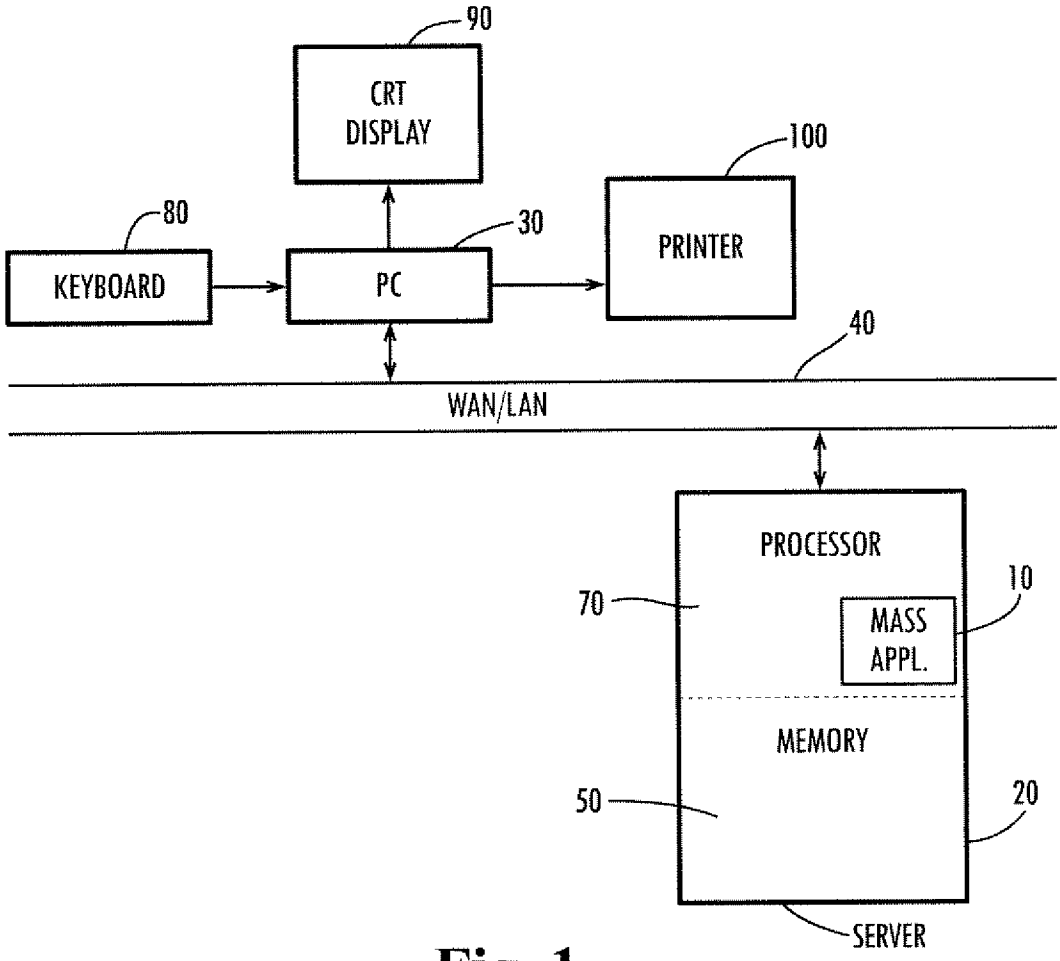
90
CRT
DISPLAY
100
80
30
PRINTER
KEYBOARD
PC
40
WAN/LAN
PROCESSOR
70
10
MASS
APPL.
MEMORY
50
20
SERVER

Fig. 1

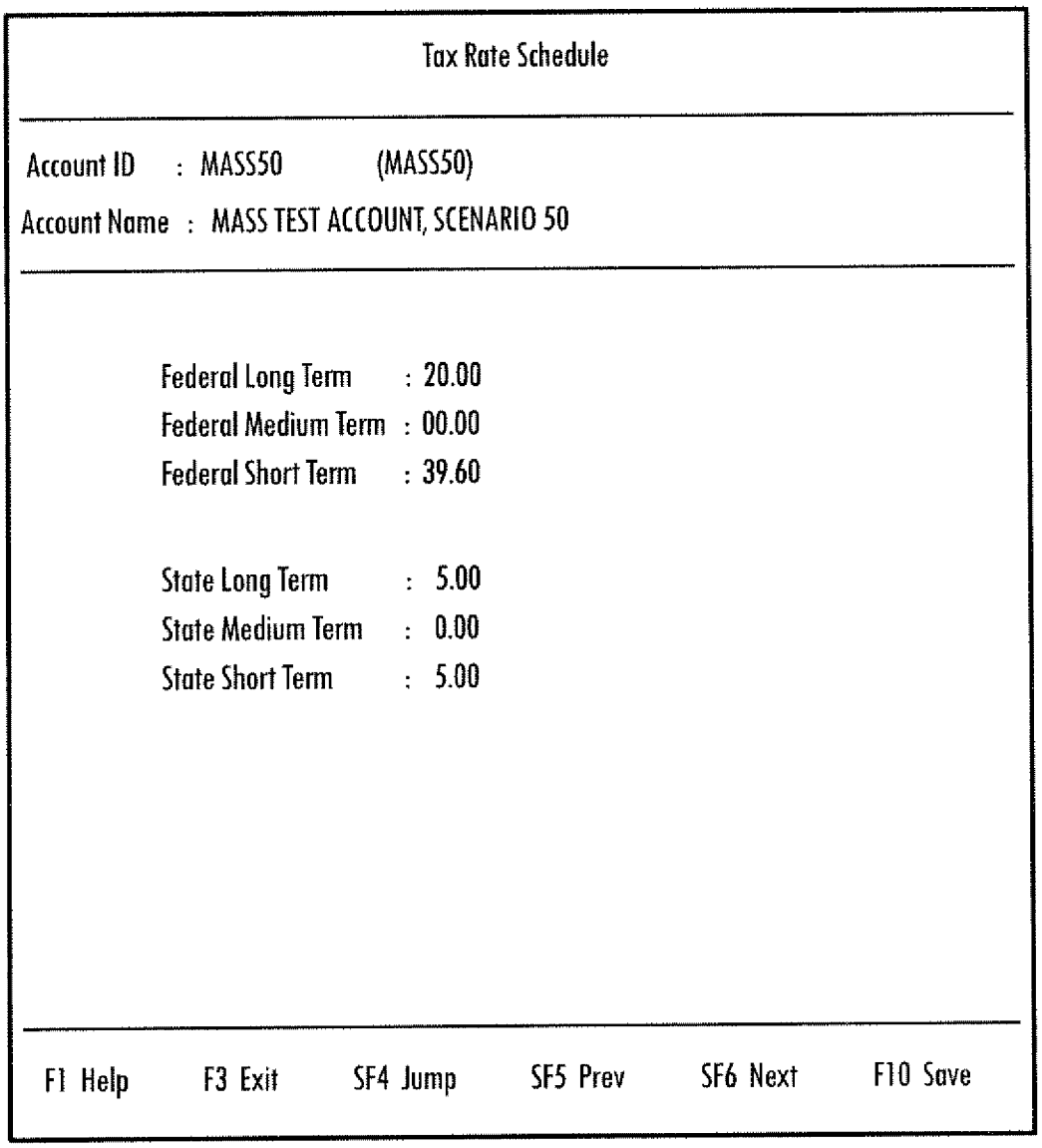
Tax Rate Schedule
Account ID : MASS50 (MASS50)
Account Name : MASS TEST ACCOUNT, SCENARIO 50
Federal Long Term : 20.00
Federal Medium Term : 00.00
Federal Short Term : 39.60
State Long Term : 5.00
State Medium Term : 0.00
State Short Term : 5.00
F1 Help
F3 Exit
SF4 Jump
SF5 Prev
SF6 Next
F10 Save

Fig. 2

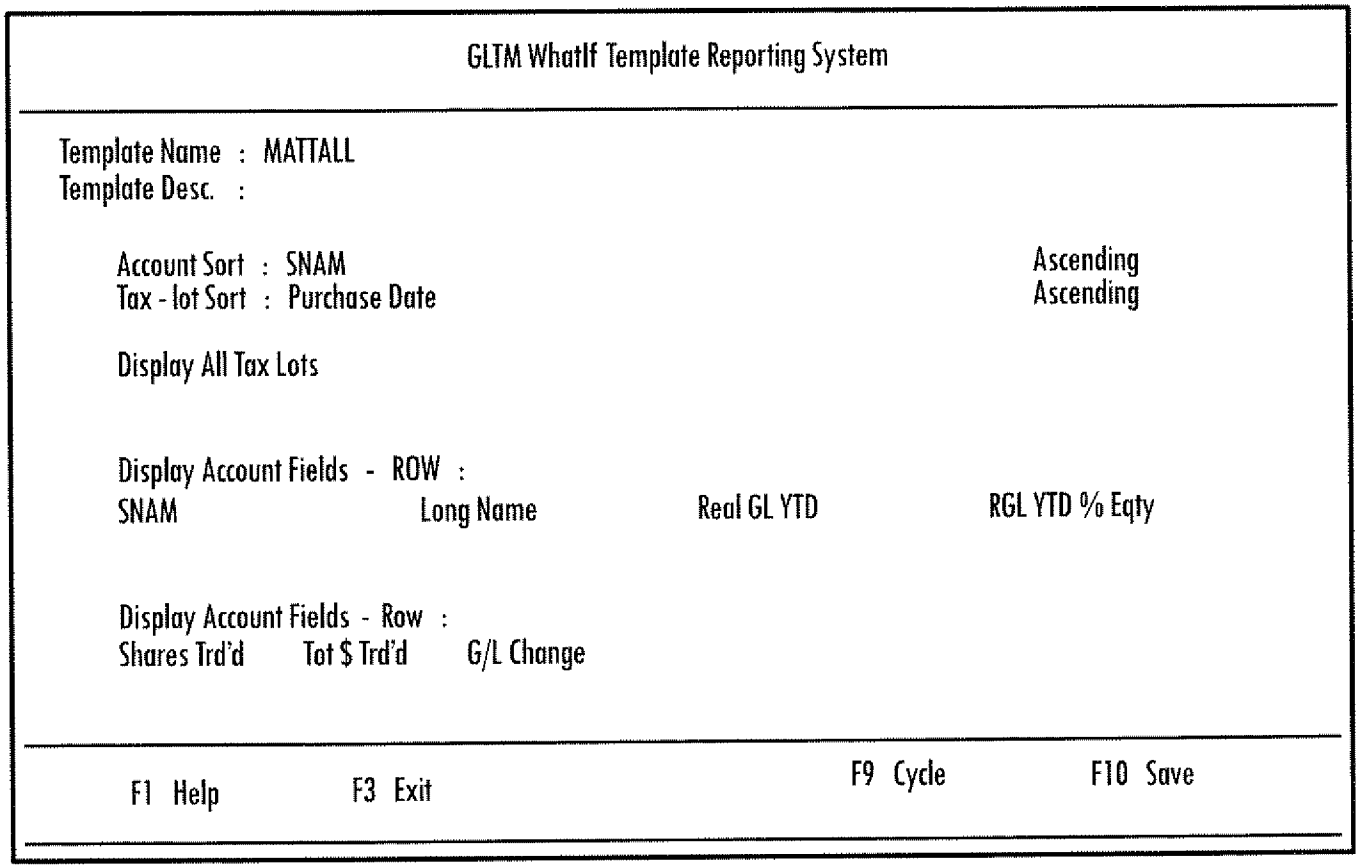
GLTM WhatIf Template Reporting System
Template Name : MATTALL
Template Desc. :
Account Sort : SNAM
Ascending
Tax - lot Sort : Purchase Date
Ascending
Display All Tax Lots
Display Account Fields - ROW :
SNAM
Long Name
Real GL YTD
RGL YTD % Eqty
Display Account Fields - Row :
Shares Trd'd
Tot $ Trd'd
G/L Change
F1 Help
F3 Exit
F9 Cycle
F10 Save

Fig. 3

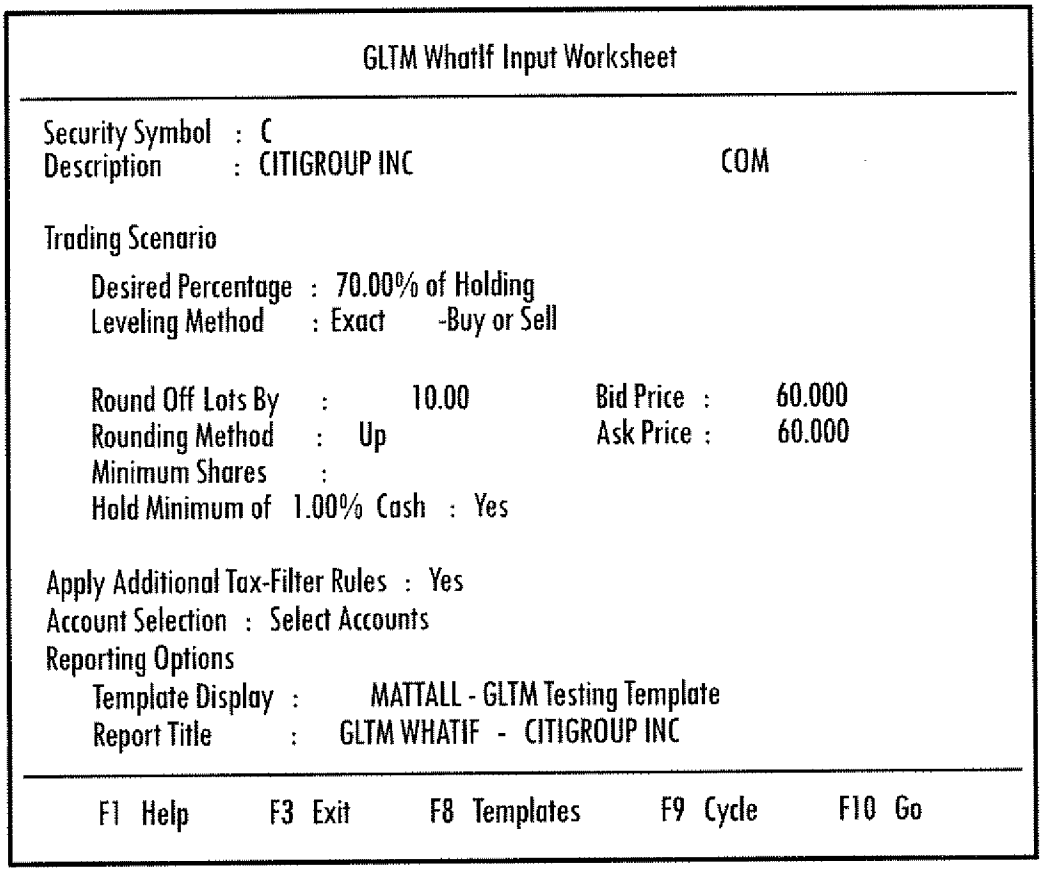
GLTM WhatIf Input Worksheet
Security Symbol : C
Description : CITIGROUP INC COM
Trading Scenario
Desired Percentage : 70.00% of Holding
Leveling Method : Exact -Buy or Sell
Round Off Lots By : 10.00
Rounding Method : Up
Minimum Shares :
Hold Minimum of 1.00% Cash : Yes
Bid Price : 60.000
Ask Price : 60.000
Apply Additional Tax-Filter Rules : Yes
Account Selection : Select Accounts
Reporting Options
Template Display : MATTALL - GLTM Testing Template
Report Title : GLTM WHATIF - CITIGROUP INC
F1 Help
F3 Exit
F8 Templates
F9 Cycle
F10 Go

Fig. 4

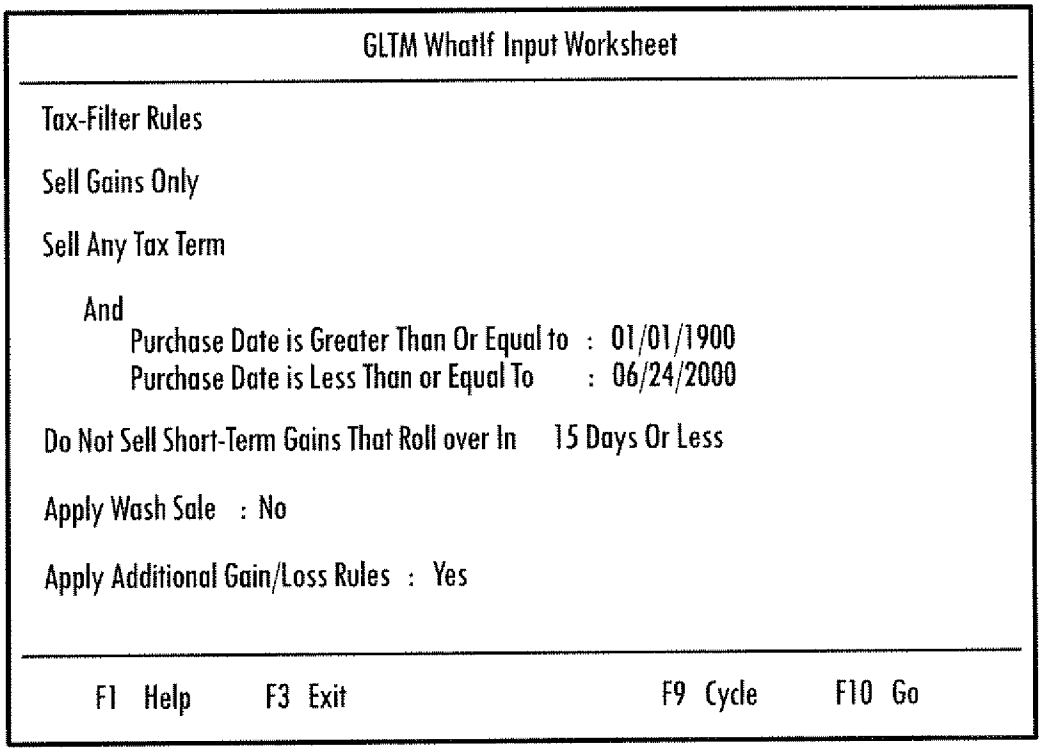
GLTM WhatIf Input Worksheet
Tax-Filter Rules
Sell Gains Only
Sell Any Tax Term
And
Purchase Date is Greater Than Or Equal to : 01/01/1900
Purchase Date is Less Than or Equal To : 06/24/2000
Do Not Sell Short-Term Gains That Roll over In 15 Days Or Less
Apply Wash Sale : No
Apply Additional Gain/Loss Rules : Yes
F1 Help
F3 Exit
F9 Cycle
F10 Go

Fig. 5

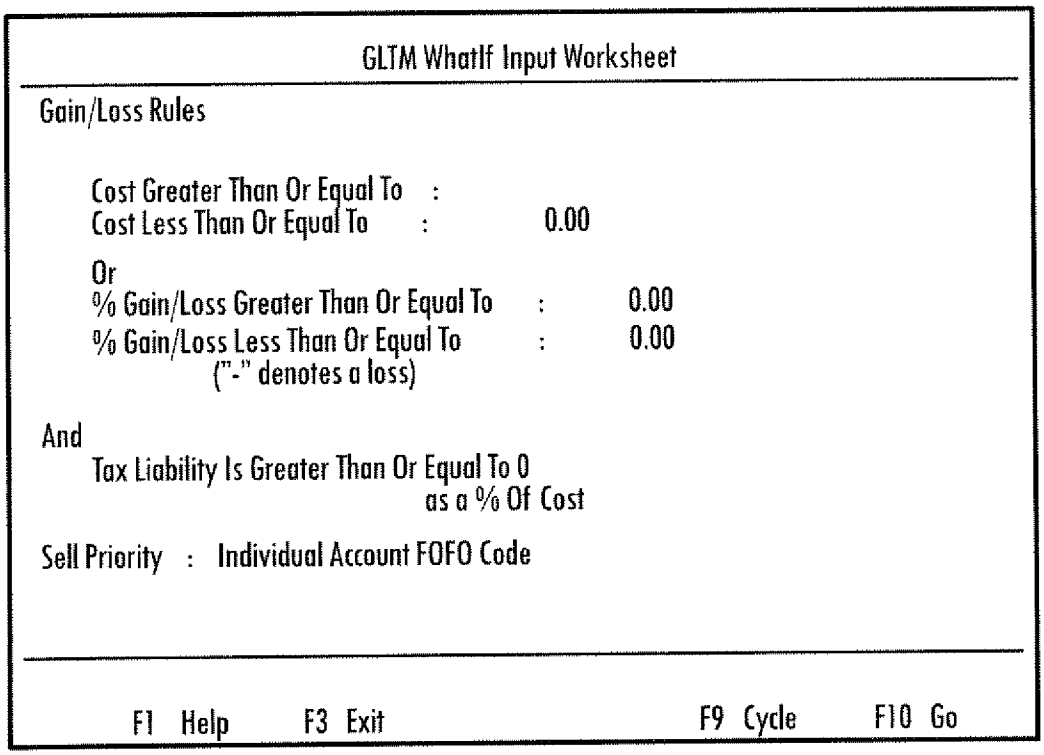
GLTM WhatIf Input Worksheet
Gain/Loss Rules
Cost Greater Than Or Equal To :
Cost Less Than Or Equal To : 0.00
Or
% Gain/Loss Greater Than Or Equal To : 0.00
% Gain/Loss Less Than Or Equal To : 0.00
("-" denotes a loss)
And
Tax Liability Is Greater Than Or Equal To 0
as a % Of Cost
Sell Priority : Individual Account FOFO Code
F1 Help
F3 Exit
F9 Cycle
F10 Go

Fig. 6

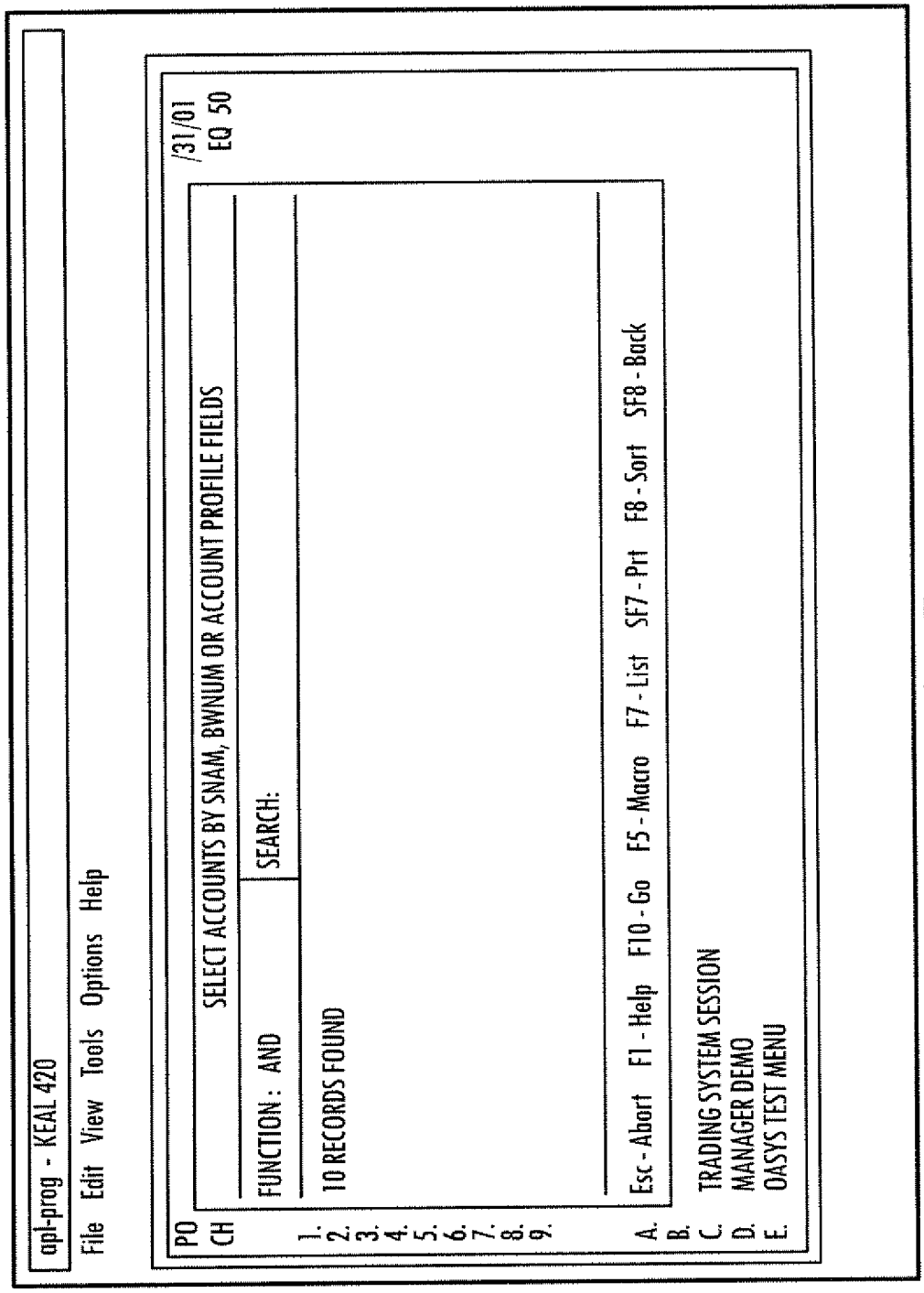
apl-prog - KEAL 420
File Edit View Tools Options Help
PO
CH
SELECT ACCOUNTS BY SNAM, BWNUM OR ACCOUNT PROFILE FIELDS
/31/01
EQ 50
FUNCTION : AND
SEARCH:
1.
2.
3.
4.
5.
6.
7.
8.
9.
10 RECORDS FOUND
A. Esc - Abort F1 - Help F10 - Go F5 - Macro F7 - List SF7 - Prt F8 - Sort SF8 - Back
B.
C. TRADING SYSTEM SESSION
D. MANAGER DEMO
E. OASYS TEST MENU

Fig. 7

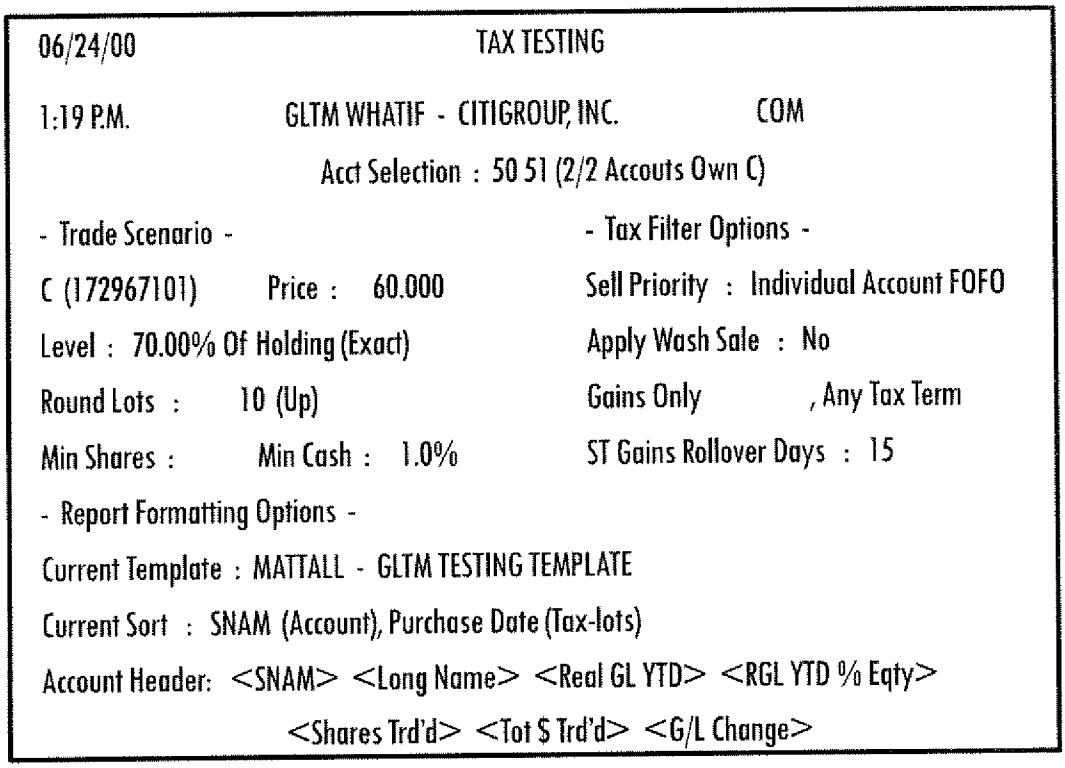
06/24/00
TAX TESTING
1:19 P.M.
GLTM WHATIF - CITIGROUP, INC.
COM
Acct Selection : 50 51 (2/2 Accouts Own C)
- Trade Scenario -
C (172967101)
Price : 60.000
Level : 70.00% Of Holding (Exact)
Round Lots : 10 (Up)
Min Shares :
Min Cash : 1.0%
- Tax Filter Options -
Sell Priority : Individual Account FOFO
Apply Wash Sale : No
Gains Only , Any Tax Term
ST Gains Rollover Days : 15
- Report Formatting Options -
Current Template : MATTALL - GLTM TESTING TEMPLATE
Current Sort : SNAM (Account), Purchase Date (Tax-lots)
Account Header: <SNAM> <Long Name> <Real GL YTD> <RGL YTD % Eqty>
<Shares Trd'd> <Tot $ Trd'd> <G/L Change>

Fig. 8A

06/24/00 TAX TESTING

1:19 P.M. GLTM WHATIF - CITIGROUP INC. COM

Acct Selection : 50 51 (2/2 Accounts Own C)

Orig Shares	Orig P Date	Orig P Cost	Orig %Prt	Shares Traded	New %Prt	New Shares	Realized Gain/Loss	% G/L
MASS50 MASS TEST ACCOUNT, SCENARIO 50						$0	0.00%	
-140	$ -8,400	$1,700						
50	09/25/97	2,000	11.1	-50	0.0	0	1,000	50.0
50	08/30/98	2,500	11.1	-50	0.0	0	500	20.0
100	12/19/98	5,500	22.2	-40	13.3	60	200	9.1

Fig. 8B

06/24/00 TAX TESTING

1:19 P.M. GLTM WHATIF - CITIGROUP, INC. COM

Acct Selection : 50 51 (2/2 Accounts Own C)

Orig Shares	Orig P Date	Orig CPS	Tax Term	Market Value	Tax Liability	Unreal Gain/Loss	%Unr G/L
MASS50 MASS TEST ACCOUNT, SCENARIO 50						$0	0.00%
-140	$-8,400	$1,700					
50	09/25/97	40.00	L	3,000	100.00	1,000	50.0
50	08/30/98	50.00	L	3,000	50.00	500	20.0
100	12/19/98	55.00	L	6,000	50.00	500	9.1

Fig. 8C

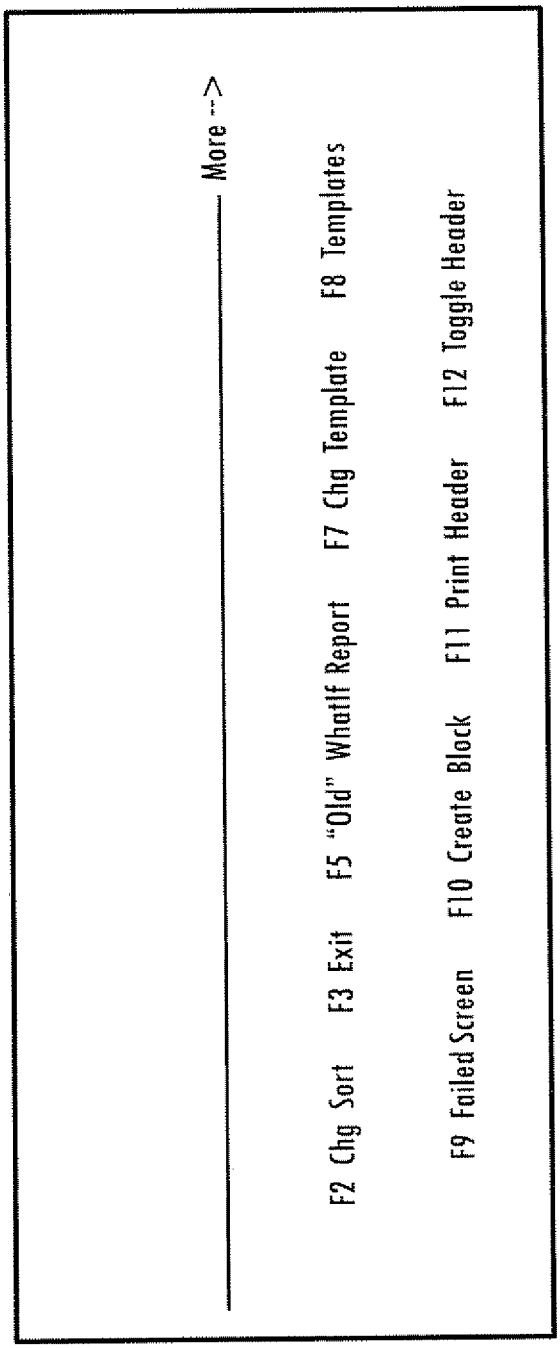
More -->
F2 Chg Sort
F3 Exit
F5 "Old" WhatIf Report
F7 Chg Template
F8 Templates
F9 Failed Screen
F10 Create Block
F11 Print Header
F12 Toggle Header

Fig. 8D

06/24/00 TAX TESTING
1:24 P.M. GLTM WHATIF - CITIGROUP, INC. COM
Acct Selection : 50 51 (2/2 Accounts Own C)
TRADE SCENARIO FAILURES

Trd	Account	Shares To Trade	Purchase Date	Tax Term	Cost/ Share	Market Value	Real Gain/ Loss	Tax Liab/ Share	Fail Reason
NO	* MASS50	-60	12/19/98	L	55.00	3600	300	0.50	OutObjective
NO	* MASS50	-50	06/23/99	L	70.10	3000	-505	-1.01	Gain/LossOnly OutObjective
NO	* MASS50	-100	02/21/00	S243	65.05	6000	-505	-2.02	Gain/LossOnly OutObjective
NO	* MASS50	-100	06/19/00	S361	62.53	6000	-253	-1.01	Gain/LossOnly OutObjective
NO	MASS50	-100	09/25/97	L	80.00	6000	-2000	-2.00	Gain/LossOnly
NO	MASS50	-500	08/30/98	L	70.00	30000	-5000	-1.00	Gain/LossOnly
NO	MASS50	-50	12/19/98	L	65.00	3000	-250	-0.50	Gain/LossOnly
NO	MASS50	-450	12/19/98	L	65.00	27000	-2250	-0.50	Gain/LossOnly OutObjective

F7 Show Restrictions F12 Toggle Header
F3 Back To Results Screen F8 Failed Mail F10 Save Changes

Fig. 9

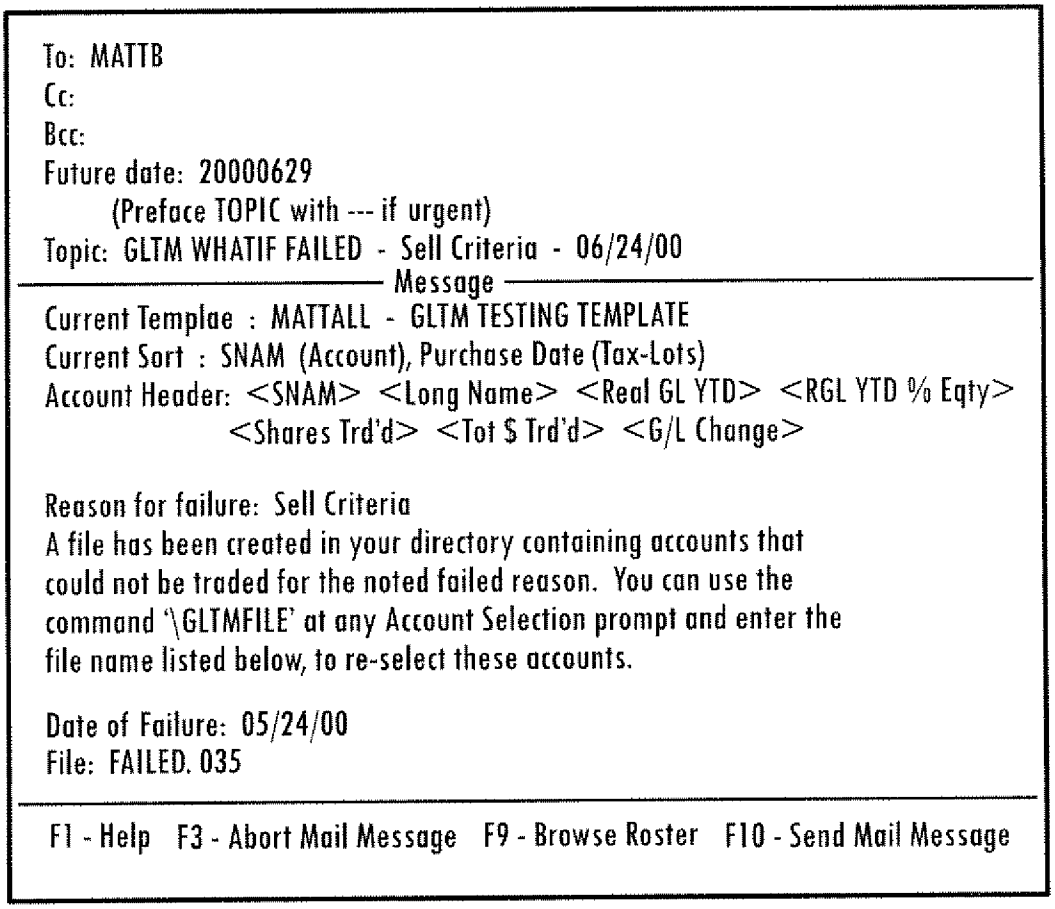
To: MATTB
Cc:
Bcc:
Future date: 20000629
(Preface TOPIC with --- if urgent)
Topic: GLTM WHATIF FAILED - Sell Criteria - 06/24/00
Message
Current Templae : MATTALL - GLTM TESTING TEMPLATE
Current Sort : SNAM (Account), Purchase Date (Tax-Lots)
Account Header: <SNAM> <Long Name> <Real GL YTD> <RGL YTD % Eqty>
<Shares Trd'd> <Tot $ Trd'd> <G/L Change>
Reason for failure: Sell Criteria
A file has been created in your directory containing accounts that could not be traded for the noted failed reason. You can use the command '\GLTMFILE' at any Account Selection prompt and enter the file name listed below, to re-select these accounts.
Date of Failure: 05/24/00
File: FAILED. 035
F1 - Help F3 - Abort Mail Message F9 - Browse Roster F10 - Send Mail Message

Fig. 10

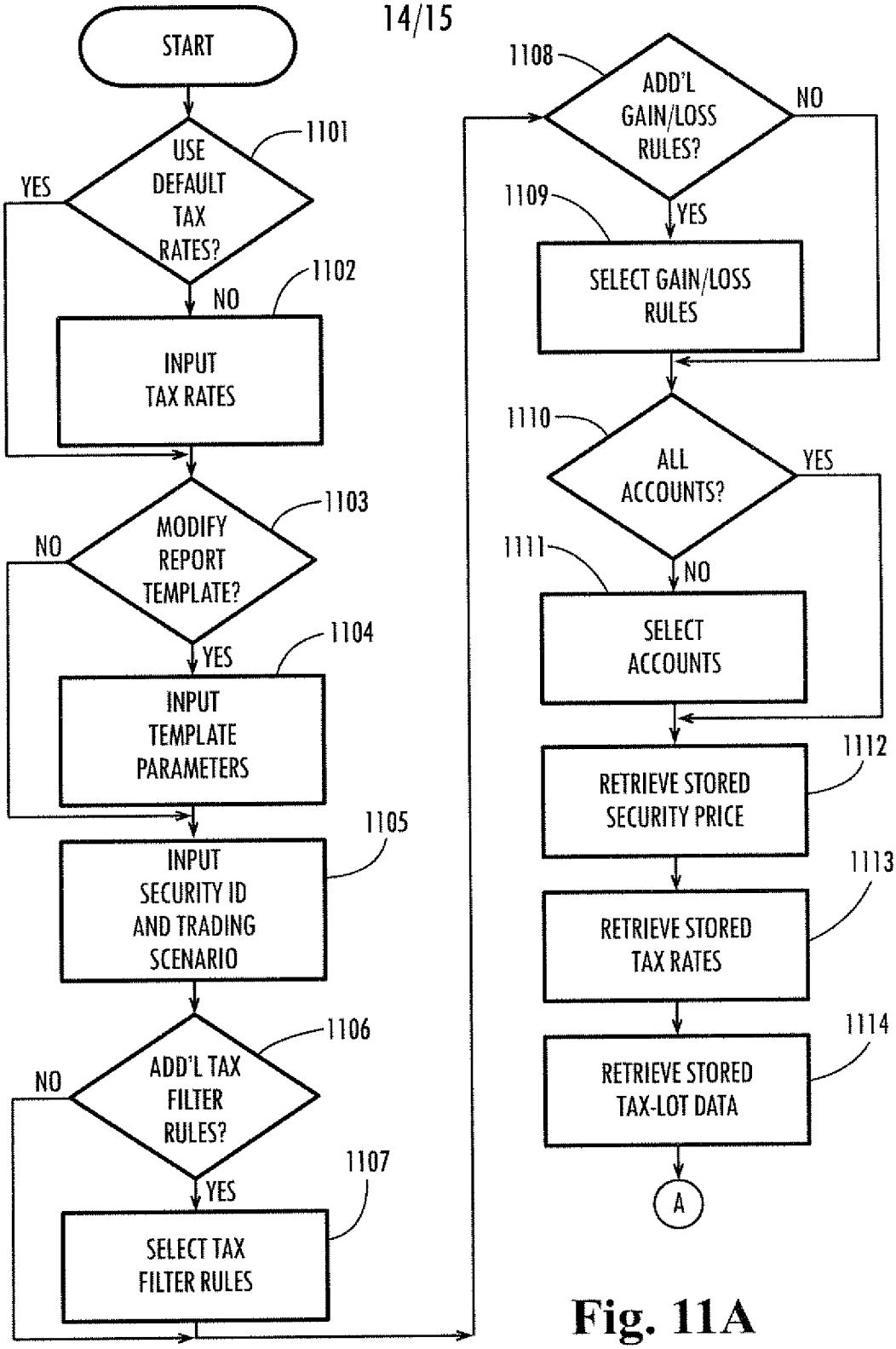
START
USE DEFAULT TAX RATES?
1101
YES
NO
INPUT TAX RATES
1102
MODIFY REPORT TEMPLATE?
1103
NO
YES
INPUT TEMPLATE PARAMETERS
1104
INPUT SECURITY ID AND TRADING SCENARIO
1105
ADD'L TAX FILTER RULES?
1106
NO
YES
SELECT TAX FILTER RULES
1107
ADD'L GAIN/LOSS RULES?
1108
NO
YES
SELECT GAIN/LOSS RULES
1109
ALL ACCOUNTS?
1110
YES
NO
SELECT ACCOUNTS
1111
RETRIEVE STORED SECURITY PRICE
1112
RETRIEVE STORED TAX RATES
1113
RETRIEVE STORED TAX-LOT DATA
1114
A

Fig. 11A

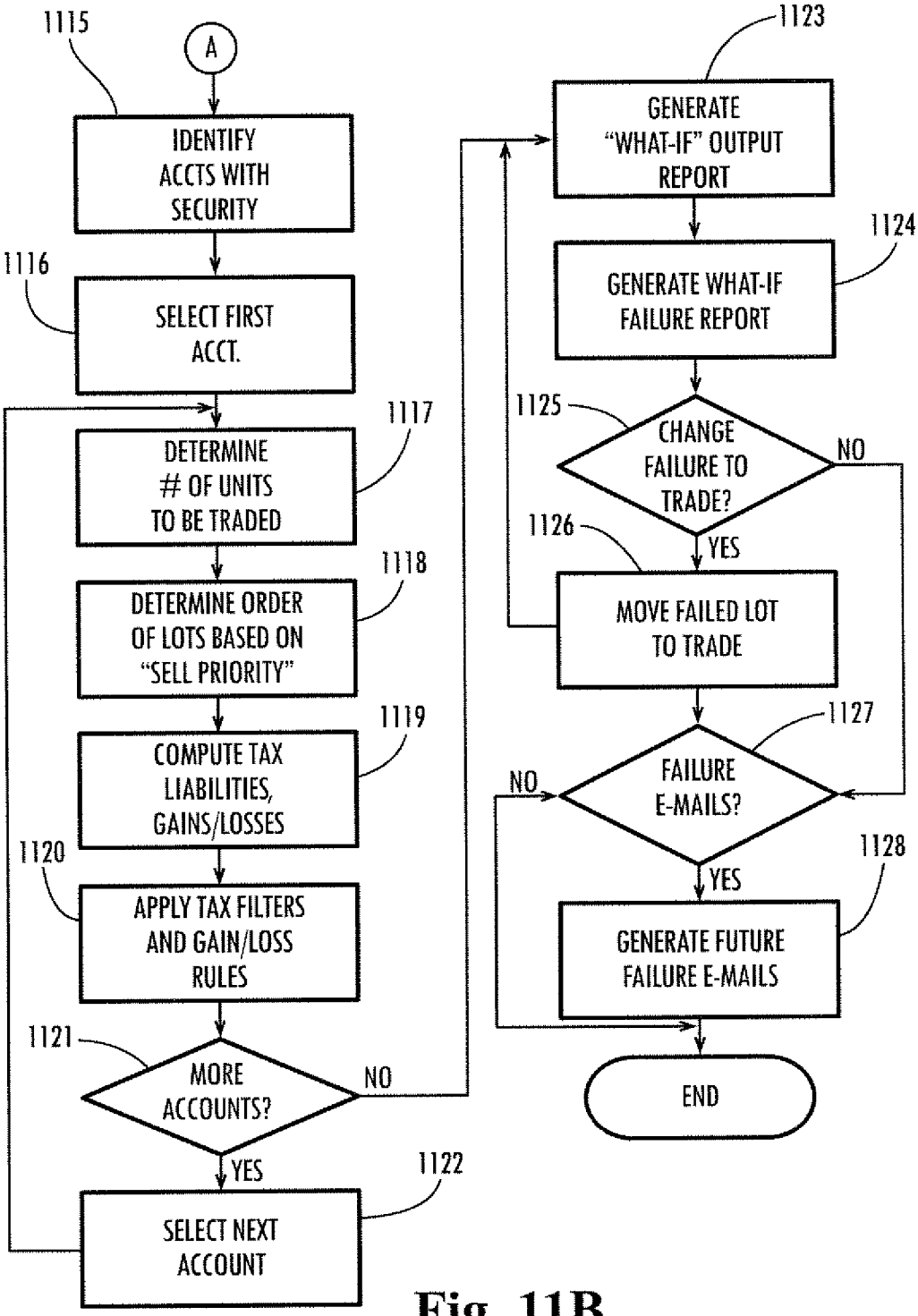
1115
A
IDENTIFY ACCTS WITH SECURITY
1116
SELECT FIRST ACCT.
1117
DETERMINE # OF UNITS TO BE TRADED
1118
DETERMINE ORDER OF LOTS BASED ON "SELL PRIORITY"
1119
COMPUTE TAX LIABILITIES, GAINS/LOSSES
1120
APPLY TAX FILTERS AND GAIN/LOSS RULES
1121
MORE ACCOUNTS?
NO
YES
1122
SELECT NEXT ACCOUNT
1123
GENERATE "WHAT-IF" OUTPUT REPORT
1124
GENERATE WHAT-IF FAILURE REPORT
1125
CHANGE FAILURE TO TRADE?
NO
YES
1126
MOVE FAILED LOT TO TRADE
1127
FAILURE E-MAILS?
NO
YES
1128
GENERATE FUTURE FAILURE E-MAILS
END

Fig. 11B